S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement	Correct Status
1	294	Yasir Mahmood Securities (Pvt) Ltd	Actions taken by Audit, Inspection, Default and Arbitrage (AIDA) : Brokerage House was ADVISED	(III ares)	Actions 13-Aug-2020	ACTIVE
3	63 98	Al Habib Capital Markets (Pvt) Ltd. Fairtrade Capital Secu. (Pvt.) Ltd.	Brokerage House was ADVISED Brokerage House was WARNED		4-Aug-20 30-Jul-20	ACTIVE ACTIVE
4 5	19 140 116	AKD Securities Ltd. M.M. Securities (Pvt.) Ltd. Patel Securities (Pvt.) Ltd.	Brokerage House was ADVISED Brokerage House was ADVISED Trading Terminals Suspended		21-Jul-20 21-Jul-20 14-Jul-20	ACTIVE ACTIVE ACTIVE
7 8	223 129	Maan Securities (Pvt.) Limited Taurus Securities Limited	Brokerage House was strictly WARNED Brokerage House was ADVISED	-	30-Jun-20 8-Jun-20	ACTIVE ACTIVE
9 10 11	234 112	Value Stock & Commodities (Pvt.) Limited Standard Capital Securities (Pvt.) Ltd.	The Brokerase house was warned The Brokerage house was warned The Brokerage house was advised	-	2-Jun-20 2-Jun-20	ACTIVE ACTIVE
12	197	Lakhani Securities (Pvt.) Ltd.	The Brokerage house was advised SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX.	-	15-Jun-20 17-Mar-20	ACTIVE ACTIVE
13	193	Akhai Securities (Pvt.) Ltd. JSK Securities Ltd.	SWITCHING-OFF OF TRACING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX	-	17-Mar-20	TRADING TERMINALS SUSPENDED
14 15	12 46	Reliance Securities Limited Fortune Securities Limited	Suspension of TRE Certificate Brokerage House was WARNED	- :	14-Feb-20 12-Feb-20	APPLIED FOR SURRENDER ACTIVE
16 17 18	98 15 42	Fairtrade Capital Secu. (Pvt.) Ltd. Sava Securities (Pvt.) Ltd. Icon Capital Management (Pvt) Ltd.	Brokerage House was WARNED Brokerage House was WARNED Brokerage House was WARNED		12-Feb-20 11-Feb-20 11-Feb-20	ACTIVE ACTIVE ACTIVE
19 20	45 108	Bhavani Securities (Private) Ltd. Azee Securities Private Limited	Brokerage House was WARNED SWITCHING-OFF OF TRADING TERMINALS	-	11-Feb-20 10-Feb-20	ACTIVE ACTIVE
21 22 23	50 88 155	Arif Habib Ltd. Fawad Yusuf Securities (Private) Ltd. 8 & 8 Securities (Pvt.) Ltd.	Brokerage House was Advised Brokerage House was WARNED Brokerage House was WARNED	-	7-Feb-20 7-Feb-20 7-Feb-20	ACTIVE ACTIVE ACTIVE
24 25	196 234	RAH Securities (Pvt.) Ltd. Value Stock and Commodities (Pvt) Ltd.	Brokerage House was WARNED Brokerage House was WARNED	- :	7-Feb-20 7-Feb-20	ACTIVE ACTIVE
26 27 28	72 173	TS Securities (Private) Ltd. Spectrum Sec.Ltd.	Brokerage House was WARNED Brokerage House was ADVISED	-	7-Feb-20 6-Jan-20	ACTIVE ACTIVE
29 30	275 309 481	Rahat Securities Ltd HMC Stocks (Pvt) Ltd. Riaz Ahmed Securities (Pvt) Ltd.	Erobarage House was WARNED The Brokerage House was PENALIZED and WARNED Erobarage House was WARNED	Rs:30,000/-	13-Jan-20 13-Jan-20 20-Jan-20	ACTIVE ACTIVE ACTIVE
31 32	139 112	Asian Securities Limited Standard Capital Securities (Pvt.) Ltd.	Brokerage House was ADVISED Brokerage House was WARNED	- :	27-Jan-20 30-Jan-20	ACTIVE ACTIVE
33 34 35	124 444 297	EFG Hermes Pakistan Limited Xoert Securities Limited MSD Capital Equities (Pvt.) Limited	Brobarage House was WarneD SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS		30-lan-20 18-Nov-19 18-Nov-19	TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
36 37	25 48	Vector Securities (Pvt.) Ltd. Next Capital Limited	Brokerage House was WARNED Brokerage House was WARNED	-	22-Oct-19 22-Oct-19	ACTIVE ACTIVE
38 39 40	52 61	N.U.A. Securities (Private) Ltd. Abbasi Securities (Private) Ltd. Zafar Securities (Pvt.) Ltd.	Brokerage House was WARNED Brokerage House was ADVISED Brokerage House was PENALIZED and WARNED	e 100.0007	29-Oct-19 29-Oct-19 29-Oct-19	ACTIVE Voluntary Trading Terminal Suspended
41 42	68 77 94	Zanie Securiose (viv.) Ltd. Best Securiose (viv.) Ltd. FDM Capital Securities (Pt-Ltd.	Brokerage House was PENALUED and WARNED Brokerage House was PENALUED and WARNED Brokerage House was WARNED	Rs.20,000/-	28-Oct-19 24-Oct-19	ACTIVE ACTIVE ACTIVE
43 44 45	117 121	Fikree's Private Limited Salim Sozer Securities (Pyt.) Ltd.	Brokerage House was WARNED Brokerage House was WARNED Brokerage Mouse was WARNED		24-Oct-19 28-Oct-19 22-Oct-19	ACTIVE ACTIVE
46 47	148 150 162	Oriental Securities (Private) Ltd Askari Securities Ltd. Aba Ali Habib Securities(Pvt.) Ltd.	Brokerage House was WARNED Brokerage House was ADVISED Brokerage House was WARNED		18-Oct-19 24-Oct-19	ACTIVE ACTIVE ACTIVE
48 49 50	166 173	Topline Securities Limited. Spectrum Sec.Ltd.	Brokerage House was WARNED Brokerage House was WARNED		28-Oct-19 21-Oct-19 24-Oct-19	ACTIVE ACTIVE
51 52	221 224 251	Millennium Brokerage (Pvt.) Limited K.&. (Global Capital (Pvt.) Ltd. MND Investment (Pvt.) Ltd.	Brokerage House was WARNED Brokerage House was WARNED Brokerage House was WARNED		24-Oct-19 25-Oct-19	ACTIVE ACTIVE ACTIVE
53 54	265 275	Infinite Securities Ltd. Rahat Securities Ltd	Brokerage House was WARNED Brokerage House was WARNED	-	24-Oct-19 24-Oct-19	ACTIVE ACTIVE
55 56 57	309 311	HMC Stocks (Pvt) Ltd. Abbasi & Company (Pvt) Ltd. 128 Securities (Pvt) Ltd	Brokerage House was WARNED Brokerage House was WARNED Brokerage House was WARNED		25-Oct-19 28-Oct-19 28-Oct-19	ACTIVE ACTIVE ACTIVE
58 59	328 330 346	Muhammad Amer Riaz Securities (Pyt) Ltd	Brokerage House was WARNED Brokerage House was WARNED	-	28-Oct-19 22-Oct-19	ACTIVE ACTIVE
60 61 62	347 350	Strongmin Securities (Pvt) Ltd Amer Securities (Pvt) Ltd Guirez Securities (Pvt) Ltd	Brokerage House was PENALIZED and WARNED Erokerage House was WARNED SWITCHMING DE TRADING I FRAMMALI S	Rs.20,000/-	25-Oct-19 21-Oct-19	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED
62 63 64	189 62 490	PERVEZ AHMED CAPITAL (PRIVATE) LIMITED WE Financial Services Limited BABA Equities (Pvt.) Limited	SWITCHING-OFF OF TRADING TERMINALS Switching-off of trading terminals Switching-off of trading terminals		7-Oct-19 11-Sep-19 16-Sep-19	TRADING TERMINALS SUSPENDED ACTIVE TRADING TERMINALS SUSPENDED
65 66	485 237	Hamza Farhad Securities (Pvt.) Limited IAK Securities (Private.) Limited	Switching-off of trading terminals Switching-off of trading terminals		19-Sep-19 16-Jul-19	ACTIVE APPLIED FOR SURRENDER
67 68 69	12 58 108	Reliance Securities Limited Dawood Equities Limited Axee Securities Private Limited	Switching-off of trading terminals Switching-off of trading terminals Switching-off of trading terminals	- :	18-Jun-19 26-Jun-19 26-Jun-19	APPLIED FOR SURRENDER ACTIVE ACTIVE
70 71	57 148	First Capital Equities Limited Oriental Securities (Private) Limited	Switching-off of trading terminals The Brokeringe House was Advised		16-May-19 27-May-19	APPLIED FOR SURRENDER ACTIVE
72 73	187 153	SAZ Capital Securities (Private) Limited Creative Capital Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	- :	30-Apr-19 30-Apr-19	ACTIVE ACTIVE
74 75 76	56 199 212	Nael Capital (Private) Limited Inslight Securities (Private) Limited Horizon Securities Limited	The Brokerage Mouse was Advised The Brokerage Mouse was Advised The Brokerage Mouse was Advised		30-Apr-19 30-Apr-19 8-May-19	ACTIVE ACTIVE ACTIVE
77 78	221 228	Millennium Brokerage (Private) Limited Al-Haq Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	8-May-19 8-May-19	ACTIVE ACTIVE
79 80 81	275 294 311	Rahat Securities Limited Yasir Mahmood Securities (Private) Limited Abbasi & Company (Private) Limited	The Brokerage Mouse was Advised The Brokerage Mouse was Advised The Brokerage Mouse was Advised		8-May-19 8-May-19 8-May-19	ACTIVE ACTIVE ACTIVE
82 83	410 438	Zahid Latif Khan Securities (Private) Limited Fair Edge Securities(Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		3-May-19 3-May-19	ACTIVE ACTIVE
84 85 86	478 482 523	Pasha Securities (Private) Limited New Peak Securities(Private) Limited Falki Capital (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	3-May-19 3-May-19 3-May-19	ACTIVE ACTIVE ACTIVE
87 88	523 61 88	yans capital private) timised. Abbasi Securities (Pvt) Ltd. Fawad Youd Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Warned The Brokerage House was PENALIZEO and WARNED	Ps.50,000/-	30-Apr-19 30-Apr-19	Voluntary Trading Terminal Suspended ACTIVE
89 90	16 107	DIM Securities (Pvt.) Ltd. Seven Star Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	- :	24-Apr-19 18-Apr-19	ACTIVE ACTIVE
91 92 93	481 204 490	Naz Ahmed Securities (Private) Limited A.N Equities (Pvt) Ltd Baba Equities (Pvt) Limited.	The Brokerage House was Warned The Brokerage House was PENALIZED and WARNED The Brokerage House was Warned	Rs.50,000/-	18-Apr-19 16-Apr-19 15-Apr-19	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED
94 95	339 158	Khawaja Securities (Pvt.) Ltd. Royal Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	- :	8-Apr-19 8-Apr-19	ACTIVE ACTIVE
96 97 98	523 55	Falki Capital Private Limited Shajar Capital Pakistan Private Limited	The Brokerage Mouse was Warned The Brokerage Mouse was Warned The Brokerage House was PENALIZED and WAINED	Rs.691,500/-	5-Apr-19 3-Apr-19 3-Apr-19	ACTIVE ACTIVE
99 100	221 266 120	Millennium Brokeriage (Private)Limited Shaffi Securities (Pvt) Ltd Alfalah Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	2-Apr-19 2-Apr-19	ACTIVE ACTIVE ACTIVE
101 102 103	140 150	M.M. Securities (Private) Limited Askari Securities Limited	The Brokerage House was Warned The Brokerage House was Warned	-	2-Apr-19 2-Apr-19	ACTIVE ACTIVE
104 105	223 42	Unix Securities (Private) Limited Maan Securities (Pvt.) Limited KCON Capital Management (Pvt) Ltd.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was WARNED	Rs.40,000/-	27-Mar-19 27-Mar-19	APPLIED FOR SURRENDER ACTIVE ACTIVE
106	10 100	Sakarwala Capital Sec.(Pvt.) Ltd Elixir Securities Pak. (Pvt.) Ltd.	The Brokerage House was WARNED The Brokerage House was Advised	- :	27-Mar-19 20-Mar-19	ACTIVE APPLIED FOR SURRENDER
108 109 110	176 102 91	Muharrmad Salim Karmani Securities (Private)Limited Growth Securities (Pt.). Limited Intermarket Securities Limited	The Brokerage House wis Warned and Financial Penalty was Imposed The Brokerage House wis Warned and Financial Penalty was Imposed The Brokerage House was WARNED	Rs.50,000/- Rs.20,000/-	18-Mar-19 18-Mar-19 18-Mar-19	ACTIVE ACTIVE ACTIVE
111 112	284 229	ASA Stocks Private Limited Fairway Securities Private Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 533,500/- Rs. 995,000/-	1-Mar-19 1-Mar-19	ACTIVE ACTIVE
113 114 115	267 179 46	Sismillah Securities (Pvt.) Limited Continental Capital Management (Pvt.) Limited Forture Securities Limited	The Brokerage House was WARNED The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Advised	Rs. 20,000/-	1-Mar-19 1-Mar-19 26-Feb-19	ACTIVE ACTIVE ACTIVE
115 116 117	297 28	MSD Capital Equities (Pvt.) Ltd. Ghani Osman Securities (Pvt.) Ltd.	The Brokerage House was WARNED The Brokerage House was WARNED	- :	26-Feb-19 20-Feb-19	ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
118 119 120	143 517 224	Saao Capital (Private) Ltd. South Asian Securities (Pvt.) Ltd. K & I Global Capital (Private.) Limited.	The Brokerage House was WAINED Switching-off of trading terminals The Brokerage House was Warned		20-Feb-19 18-Feb-19 22-Jan-19	ACTIVE SURRENDERED / RELINQUISHED ACTIVE
121	275 332	Rahat Securities Limited Trust Securities & Brokerase Limited.	The Brokerage House was Warned The Brokerage House was Warned		22-lan-19 22-lan-19 22-lan-19	ACTIVE ACTIVE ACTIVE
122 123 124 125	337 290 309	A 8 M Securities (Private) Limited K.H.S. Securities (Private) Limited MMC Study (Private) Limited	The Brokerage House was Warned Suspension of Trading Terminals		22-lan-19 16-lan-19 16-lan-19	ACTIVE ACTIVE
126	309 12 239	HMC Stocks (Private) Limited. Reliance Securities Limited. Ayub Chaudhry Investments (Private) Limited.	Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.430,000/-	14-Jan-19 14-Dec-18	ACTIVE APPLIED FOR SURRENDER ACTIVE
127 128 129	261 288	M.F. Stocks (Private) Limited. Javed Iqbal Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.20,000/-	14-Dec-18 14-Dec-18	APPLIED FOR SURRENDER ACTIVE
130 131 132	420 497 256	Progressive Inves. Management (Private) Limited. 3K Securities Limited Progressive Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned and Friends Penalty was imposed	Ps.30.000/-	14-Dec-18 14-Dec-18 13-Dec-18	ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
132 133 134	297 36	MSD Capital Equities (Private) Limited. Time Securities (Private.) Limited.	The Brokerage House was Warned and Financial Denalty was Imposed	Rs.80,000/-	13-Dec-18 12-Dec-18	TRADING TERMINALS SUSPENDED ACTIVE
135 136	143 211	Saao Capital (Private) Limited. Share Center (Private) Limited	The Brokerage Mouse was Warned The Brokerage Mouse was Warned The Brokerage House was Warned	-:-	10-Dec-18 10-Dec-18	ACTIVE SURRENDERED / RELINQUISHED
137 138 139	294 350 28	Yasir Mahmood Securities (Private) Limited Guinez Securities (Private) Limited Ghani Osman Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.20,000/-	10-Dec-18 10-Dec-18 7-Dec-18	ACTIVE ACTIVE ACTIVE
140	35 62	Surmawala Securities (Private) Limited. WE Financial Services Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.140,000/-	6-Dec-18 22-Nov-18	ACTIVE ACTIVE
142 143		EFG Hermes Pakistan Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	22-Nov-18 22-Nov-18	ACTIVE ACTIVE ACTIVE
144	124 191 432	Market 786 (Private) Limited. Spinzer Equities(Private) Limited	The Brokerage House was Warned and Financial Resolutions to become "	Rs.115.8457	19-Nov-18	
144 145 146	191	Spinzer Equities(Private) Limited RUC Securities (Private,) Limited. MGM Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed Switching-off of trading terminals The Brokerage House was Warned	Rs.115,845/-	16-Nov-18 15-Nov-18	TRADING TERMINALS SUSPENDED ACTIVE
144 145 146 147 148	191 432 208 296 48 181	Spinzer Equilise(Private) Limited BUC Securities (Private) Limited MGM Securities (Private) Limited Next Capital Limited Next Capital Limited First Equily Modarsha	The Brokerage House was Warned and Financial Penality was Imposed Switching off of trading terminals The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned		16-Nov-18 15-Nov-18 14-Nov-18 9-Nov-18	ACTIVE ACTIVE ACTIVE
144 145 146 147 148 149 150	191 432 208 296 48 181 286 232 8	Spinzer Equition(Private) Limited #ULS Securities (Private) Limited MGM Securities (Private) Limited Next Capital Limited Next Capital Limited	The Bookerage Tosses was Warnel and Financial Penalty was Imposed which period of Inding terminals. The Bookerage Hopica was Warnel The Bookerage Hopica was Warnel The Bookerage Hopica was Warnel The Bookerage Hopica was Warnel of Indincial Penalty was Imposed the Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel and Financial Penalty was Imposed The Bookerage Hopica was Warnel And The Bookerage Hopica was Warnel The Bookerage Hopica was Warnel The Bookerage Hopica was W	Rs.170,000/- Rs.50,000/-	16-Nov-18 15-Nov-18	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
144 145 146 147 148 149 150 151 152	191 432 208 296 48 181 286 232 8 145	Species Equicitor/Private Literated (See Species Species Control Cont	The findings Price as Notes and Finesic Presity an impred before the Section of the Control Presity and Impred The Section Price are Notes and Tennish The Section Price are Notes and Tennish The Section Price are Notes and Tennish Presity are impred The Section Price are Notes and Finesic Presity are impred The Section Price are Notes and Finesic Presity are impred The Section Price are Notes and Finesic Presity are impred The Section Price are Notes and Finesic Presity are impred The Section Price are Notes and Finesic Presity are impred The Section Price are Notes and Finesic Presity are impred The Section Price are Notes and Finesic Presity are impred The Section Price are Notes and Finesic Presity are impred	Rs.170,000/- Rs.50,000/- Rs.40,000/- Rs. 20,000/-	16-Nov-18 15-Nov-18 14-Nov-18 14-Nov-18 9-Nov-18 7-Nov-18 1-Nov-18 1-Nov-18 1-Nov-18	ACTIVE
144 145 146 147 148 149 150 151 152 153 154 155 156	191 432 208 296 48 181 286 232 8	Some Tap Land Privated (Immed Sich Southers Privated (Immed Sich Southers Privated (Immed Sich Southers Privated (Immed Sich Southers Privated (Immed Foreign Sich Southers Privated (Immed Foreign Sich Southers Foreign Sich Sich Southers Foreign Sich Sich Southers Foreign Sich Sich Southers Foreign Sich Sich Sich Sich Sich Sich Sich Sich	The biologies those was Wester and Traceoid Presidy was impacted biologies of the Goods president of the Conference on Westerland Processes of Westerland Processes on Westerland Processes of Westerland Processes on Westerland Processes of Westerland Processes of Westerland Processes of Westerland Processes Westerland Processes Westerland Processes of Westerland Processes Westerland Processes of Westerland Processes Westerland Pr	Rs.170,000/- Rs.50,000/-	16-Nov-18 15-Nov-18 14-Nov-18 9-Nov-18 7-Nov-18 1-Nov-18 1-Nov-18	ACTIVE
144 145 146 147 148 149 150 151 152 153 154 155 156 157 158	191 492 208 296 48 181 286 232 3 145 136 194 24 77 121	Species Equilibrium (Smith Species (The biologies those was Needer and Toroid Provide years in proper biologies of the other process an Needer New Biologies of the Other Section of the Other Biologies of the Other Section of Toroid Provide years The Biologies Was was Needer and Toroid Provide years proper the Biologies Was was Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide Was the Needer Was as Needer and Toroid Provide Was the Needer Was as Needer and Toroid Provide Was Needer Was and Was and Was and Was the Needer Was Needer and Toroid Provide Was Needer Was Needer and Toroid Provide Was Needer Was Needer and Toroid Provide Was Needer Was Needer and Toroid Was Needer Was Needer and Toroid Was Needer Was Needer and Toroid Was Needer Needer Was Needer and Toroid Was Needer Needer Was Needer and Needer Needer Needer Was Needer and Needer Need	Rs.170,000/- Rs.50,000/- Rs.40,000/- Rs.20,000/- Rs.120,000/-	15-May-18 15-May-18 14-Nov-18 9-Nov-18 5-Nov-18 5-Nov-18 1-Nov-18 1-Nov-18 1-Nov-18 1-Nov-18 2-Oct-18 12-Oct-18 17-Oct-18 17-Oct-18 17-Oct-18	ACTIVE
144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160	191 432 208 296 48 181 286 232 8 145 186 194 24	Speece Spain-Springer Limited Seece Spain-Springer Limited Seece Capital Limited All Limit Seeces Springer Springer Limited All Limit Seeces Springer Springer Springer Springer All Limit Seeces Springer Springer Springer Seeces Springer Springer Springer Seeces Springer Springer Sprin	The believing these was Mineral and Forcer's theories, we imposed Marketing of Forker's present. Mineral of Forker's present. The Belling of Forker's present and the Section of Forker's present and the Sectio	Rs.170,000/- Rs.50,000/- Rs.50,000/- Rs.20,000/- Rs.120,000/- Rs.120,000/- Rs.40,000/-	15-Nev-18 15-Nev-18 14-Nev-18 14-Nev-18 15-Nev-18 5-Nev-18 1-Nev-18 1-Nev-18 1-Nev-18 1-Nev-18 1-Nev-18 1-Nev-18 1-Nev-18 10-Oct-18 10-Oct-18 10-Oct-18	ACTIVE AC
144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159	191 412 208 296 43 181 286 232 8 145 186 194 24 77 121 98	Spore Type (Private) Limited (Spore Type (Private) Limited Spore	The biologies those was Needer and Toroid Provide years in proper biologies of the other process an Needer New Biologies of the Other Section of the Other Biologies of the Other Section of Toroid Provide years The Biologies Was was Needer and Toroid Provide years proper the Biologies Was was Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years proper to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide years to be biologies Was as Needer and Toroid Provide Was the Needer Was as Needer and Toroid Provide Was the Needer Was as Needer and Toroid Provide Was Needer Was and Was and Was and Was the Needer Was Needer and Toroid Provide Was Needer Was Needer and Toroid Provide Was Needer Was Needer and Toroid Provide Was Needer Was Needer and Toroid Was Needer Was Needer and Toroid Was Needer Was Needer and Toroid Was Needer Needer Was Needer and Toroid Was Needer Needer Was Needer and Needer Needer Needer Was Needer and Needer Need	Rs.170,000/- Rs.50,000/- Rs.40,000/- Rs.20,000/- Rs.120,000/-	15-Nev-18 15-Nev-18 15-Nev-18 15-Nev-18 9-Nev-18 5-Nev-18 1-Nev-18 1-Nev-18 1-Nev-18 1-Nev-18 1-Nev-18 12-Oct-18 12-Oct-18 10-Oct-18 10-Oct-18 10-Oct-18	ACTIVE

S. No.	TREC No.	Name of TREC Molder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
166	292	INA Securities (Private) Limited	Switching-off of trading terminals	III anvi	18-5ep-18	ACTIVE
167	297 444	MSD Capital Equities (Private) Limited. Xpert Securities (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals		18-Sep-18 18-Sep-18	TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
169	475	CAMCO (Private) Limited	Switching-off of trading terminals	-	18-Sep-18	ACTIVE
170	94	FDM Capital Securities (Private.)Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.1,000,000/-	14-Sep-18	ACTIVE
171	420	Progressive Inves. Management (Private) Limited. Patel Securities (Private.) Limited.	Restriction on opening of New Clients Account and Sale Side	-	14-Sep-18 10-Sep-18	ACTIVE
172	116 212	Patel Securities (Private:) Limited. Horizon Securities Limited.	The Brokerage House was Warned The Brokerage House was Warned		10-Sep-18 3-Sep-18	ACTIVE ACTIVE
174	309	HMC Stocks (Private) Limited.	The Brokerage House was Warned		3-Sep-18	ACTIVE
175	438	Fair Edge Securities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.100,000/-	3-Sep-18	ACTIVE
176	231 288	Saima Qaiser Securities (Private) Limited Javed Igbal Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Warned		16-Aug-18 13-Aug-18	ACTIVE ACTIVE
178	346	Strongman Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	13-Aug-18	ACTIVE
179	54	Bawa Securities (Private.) Limited.	The Brokerage House was Warned		8-Aug-18	ACTIVE
180	234 228	Value Stock and Commodities (Private) Limited. Al-Hao Securities (Private.) Limited.	The Brokerage House was Warned		31-Jul-18 27-Jul-18	ACTIVE ACTIVE
181	228 251	Al-Haq Securities (Private.) Limited. MND Investment (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	- :	27-Jul-18 27-Jul-18	ACTIVE ACTIVE
183	265	Infinite Securities Limited.	The Brokerage House was Warned	-	27-Jul-18	ACTIVE
184	290	K.H.S. Securities (Private) Limited	The Brokerage House was Warned		27-Jul-18	ACTIVE
185 186	6 94	Sherman Securities (Private.) Limited. FDM Capital Securities (Private.) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	20-Jul-18 20-Jul-18	ACTIVE ACTIVE
187	120	Alfalah Securities (Private.) Limited.	The Brokerage House was Advised		20-Jul-18 20-Jul-18	ACTIVE
188	410	Zahid Latif Khan Securities (Private.) Limited.	The Brokerage House was Warned		20-Jul-18	ACTIVE
189	442	General Investment & Sec	The Brokerage House was Warned		20-Jul-18	ACTIVE
190 191	478 485	Pasha Securities (Private) Limited Hamza Farhad Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	20-Jul-18 20-Jul-18	ACTIVE ACTIVE
192	491	First Street Capital (Private) Limited.	The Brokerage House was Warned	-	20-Jul-18	ACTIVE
193	44	IGI Finex Securities Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	13-Jul-18	ACTIVE
194	420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed. The Brokerage House was Warned and Penalized and Restriction On Opening of New	Rs. 170,000/-	13-Jul-18	ACTIVE
195	98	Fairtrade Capital Securities (Private.) Limited.	Clients' Account was Imposed	Rs.300,000/-	22-Jun-18	ACTIVE
196 197	112	Standard Capital Securities (Private.) Limited. AKD Securities Limited.	The Brokerage House was Advised		22-Jun-18 20-Jun-18	ACTIVE ACTIVE
197	19 44	AKD Securities Limited. IGI Finex Securities Limited	The Brokerage House was Advised The Brokerage House was Advised	-	20-Jun-18 20-Jun-18	ACTIVE ACTIVE
199	50	Arif Habib Limited.	The Brokerage House was Advised		20-Jun-18	ACTIVE
200	129	Taurus Securities Limited	The Brokerage House was Advised		20-Jun-18	ACTIVE
201	150 284	Askari Securities Limited. ASA Stocks (Private) Limited.	The Brokerage House was Advised Switching-off of trading terminals	-	20-Jun-18 20-Jun-18	ACTIVE ACTIVE
202	508	KP Securities (Private) Limited	Switching-off of trading terminals Switching-off of trading terminals	-	20-Jun-18 20-Jun-18	TRADING TERMINALS SUSPENDED
204	63	AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Advised		14-Jun-18	ACTIVE
205 206	116	Patel Securities (Private.) Limited. Eleven Stars Securities (Private.) Limited.	The Brokerage House was Warned		12-Jun-18 12-Jun-18	ACTIVE
205	132 457	Dieven Stars Securities (Private.) Limited. AAA Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		12-Jun-18 7-Jun-18	ACTIVE ACTIVE
208	491	First Street Capital (Private) Limited.	The Brokerage House was Warned		7-Jun-18	ACTIVE
209	68	Zafar Securities (Private.) Limited.	The Brokerage House was Advised		31-May-18	ACTIVE
210 211	254 275	ShajarPak Securities (Private) Limited Rahat Securities Limited	The Brokerage House was Advised The Brokerage House was Advised		31-May-18 31-May-18	ACTIVE ACTIVE
212	22	BMA Capital Management Limited	The Brokerage House was Advised		24-May-18	ACTIVE
213	48	Next Capital Limited	The Brokerage House was Advised		24-May-18	ACTIVE
214	88	Fawad Yusuf Securities (Private) Limited.	The Brokerage House was Advised		24-May-18	ACTIVE
215 216	91 128	Intermarket Securities Limited. BIPL Securities Limited.	The Brokerage House was Advised The Reviserage House was Advised	-	24-May-18 14-May-18	ACTIVE ACTIVE
215 216 217	91 128 124	Intermarket Securities Limited. BPL Securities Limited. EFG Hermes Pakistan Limited	The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Advised	-	24-May-18 14-May-18 11-May-18	ACTIVE ACTIVE
216 217 218	128 124 266	BPL Securities Limited. EFG Hormes Pakistan Limited Shaffi Securities (Private) Limited	The Brokerige House was Advised The Brokerige House was Advised Switching-off of trading terminals		14-May-18 11-May-18 16-Mar-18	ACTIVE ACTIVE ACTIVE
216 217	128 124	BPL Securities Limited. EFG Hermes Pakistan Limited	The Brokerage House was Advised The Brokerage House was Advised Switching-off of trading berminals The Brokerage House was Warned and Penalized and Relaticition On Opening of New	Rs 1,000,000/-	14-May-18 11-May-18	ACTIVE ACTIVE
216 217 218	128 124 266	BPL Securities Limited. EFG Hormes Pakistan Limited Shaffi Securities (Private) Limited	The trokerage those was Advased The tokerage those was Advased Settlement of the Advased Settlement of trades terminals Settlement of trades terminals The trokerage those was Warmed and Prevaluted and Retriction On Opening of New Client Account was immosted The trokerage those was Warmed and Prevaluted and Retriction On Opening of New	Rs.1,000,000/-	14-May-18 11-May-18 16-Mar-18	ACTIVE ACTIVE ACTIVE
216 217 218 219	128 124 266 241 328	BPS. Securities Limited. DTG Hormon Pakistan Limited SNaffi Securities (Private) Limited F.M. Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised The Switzing of Disting Reminds Switzing of Disting Reminds The Brokerage House was Warned and Penalisad and Retriction On Opening of New Client, Account was interested The Brokerage House was Warned and Penalisad and Retriction On Opening of New Client, Account was Interested The Brokerage House was Warned and Penalisad and Retriction On Opening of New Client, Account was Interested		14-May-18 11-May-18 16-Mar-18 9-Mar-18	ACTIVE ACTIVE ACTIVE TRADING TERMINALS SUSPENDED
216 217 218 219 220	128 124 266 241	BPU Securities Limited. BPU Securities Limited Shaffi Securities (Private) Limited FAM. Securities (Private) Limited 128 Securities (Private) Limited 128 Securities (Private) Limited	The trokerage those was Advased The tokerage those was Advased Settlement of the Advased Settlement of trades terminals Settlement of trades terminals The trokerage those was Warmed and Prevaluted and Retriction On Opening of New Client Account was immosted The trokerage those was Warmed and Prevaluted and Retriction On Opening of New		14-May-18 11-May-18 16-Mar-18 9-Mar-18 1-Mar-18	ACTIVE ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE TRADING TERMINALS SUSPENDED ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
216 217 218 219 220 221 222 223	128 124 266 241 328 423 63 57	295. Sought Steeled. (De Seenes Paladas Limited (Del Sevonise Phanel Limited (Del Sevonise Phanel Limited (A. Seutrise Phanel Limited 2.24 Seutrise Phanel Limited 2.24 Seutrise Phanel Limited (Markens Sevonise Phanel Limited A. Robit Capital Markes Phanel Limited A. Robit Capital Markes Phanel Limited (Capital Equals Markes Phanel)	The finding retires we Adment The finding retires we Adment The finding retires we Adment Searching off through previous The Brokenge Flows we Wirell and Finding to the processor The Brokenge Flows we Wirell and Finding of Brokenge Flows The Brokenge Flows we Wirell and Finding off Brokenge The Brokenge Flows we Wirell and Finding off Brokenge The Brokenge Flows we Wirell and Finding off Brokenge The Brokenge Flows we Wirell and Finding Flows The Brokenge Flows we Wirell and Finding Flows The Brokenge Flows we Wirell and Finding Flows The Brokenge was Wirell and Finding Flows The Brokenge was Wirell and Flows The Brokenge was Wirell and Flows The Brokenge Flows Flows The Brokeng		14-May-18 11-May-18 16-Mar-18 9-Mar-18 1-Mar-18 23-Feb-18 21-Feb-18 20-Feb-18	ACTIVE ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE TRADING TERMINALS SUSPENDED ACTIVE TRADING TERMINALS SUSPENDED ACTIVE APPLED FOR SUBRENDER
216 217 218 219 220 221 222 223 224	128 124 266 241 328 423 63 57	99. Sourpein coloned. (De Remons Palation Limited (De Remons Palation Limited (De Remons Palation Limited (A Sackarden (Produce) Limited (A Hold Cognit Markets	The finding into an Address Th	Rs 1,000,000/-	14-May-18 11-May-18 16-Mar-18 9-Mar-18 1-Mar-18 23-Feb-18 21-Feb-18 20-Feb-18 16-Feb-18	ACTIVE ACTIVE ACTIVE TADONG TERMINALS SUSPENDED ACTIVE THADING TERMINALS SUSPENDED ACTIVE THADING TERMINALS SUSPENDED APPLEE OF AS SUSPENDED APPLEE OF AS SUBRENDER ACTIVE
216 217 218 219 220 221 222 223 224 225 226	128 124 266 241 328 423 63 57 188 311 72	PM. Secritorium Limited. On Secritorium Limited Ond Secritorium Directal Limited Ond Secritorium Directal Limited Americania Directal Limited Americania Directal Limited Americania Directal Limited Americania Secritorium Directal Americania Secritorium Directal Americania Secritorium	The findings from our an Andred The findings from our an Andred The findings from our an Andred Machine of all findings from our and o	Rs 1,000,000/-	24-May-18 11-May-18 15-Mar-18 9-Mar-18 1-Mar-18 23-Feb-18 21-Feb-18 20-Feb-18 30-Jan-18 30-Jan-18 30-Jan-18	ACTIVE ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE THANING TERMINALS SUSPENDED ACTIVE THANING TERMINALS SUSPENDED ACTIVE APPLET OF ASSUBBINGER ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
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216 217 218 219 220 221 222 223 224 225 226 227 228 229 230 231	128 124 266 241 328 423 63 57 188 311 72 444 444 300 281 300	995. Secretary Institute. 1946 Secretary Shows Limited 1947 Secretary Shows Limited 1948 Secretary Shows Limited 1949 Secretary Sho	The findings from our an Artisal The findings from our an Artisal The findings from our an Artisal The findings from our and Artisal The findings from our and the finding from our and the findings from our and the findings from our and the findings from our and the manual of the findings from our and the manual our findings from our and the manual our findings from our and the fi	Rs.1,000,000/-	14-May-18 12-May-18 10-May-18 10-May-18 10-May-18 1-May-18 1-May-18 12-4-9-18 22-4-9-18 22-4-9-18 22-4-9-18 23-3-18 23	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE THANNOT TERMINALS SUPPLICED ACTIVE THANNOT TERMINALS SUPPLICED ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE TRANSPORT TERMINALS SUPPLICED ACTIVE TRANSPORT TERMINALS SUPPLICED ACTIVE TRANSPORT TERMINALS SUPPLICED ACTIVE ACT
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216 218 219 218 219 220 221 222 223 224 225 226 227 228 228 229 229 229 229 229 220 220 221 221 222 228 229 229 229 229 229 229 229 229	128 128 124 126 126 127 128 128 128 128 128 128 128 128 128 128	P.D. Southers (1994). P.D. Southers (1994). A. Service (1994).	The Sectionary Section of Assistant Conference on Assi	Rs.1,000,000/- Rs.170,000/- Rs.170,000/-	14.00 pt 1 15.00 pt 1	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE TRADONE TRANSMASS SUPPRICED ACTIVE APPLIED TORSUMANIS SUPPRICED APPLIED TORSUMANIS SUPPRICED APPLIED TORSUMANIS SUPPRICED ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
264	162	Aba Ali Habib Securities(Private.) Limited.	The Brokerage House was Warned		8-Nov-17	ACTIVE
265	183	R.T. Securities (Private.) Limited.	The Brokerage House was Warned		8-Nov-17	ACTIVE
266	265	Infinite Securities Limited.	The Brokerage House was Warned		8-Nov-17	ACTIVE
267	288	Javed Iqbal Securities (Private) Limited	The Brokerage House was Warned	-	8-Nov-17	ACTIVE
268	432	Spinzer Equities(Private) Limited	The Brokerage House was Warned		8-Nov-17	ACTIVE
269	177	Din Capital Limited.	The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account and Trading in House Account was Imposed	Rs:1,000,000/-	3-Nov-17	APPLIED FOR SURRENDER
270	281	Shaukat Shafi Securities (Private) Limited	Switching-off of trading terminals	-	1-Nov-17	NOTICE FOR SURRENDER
271	290	K.H.S. Securities (Private) Limited	Switching-off of trading terminals		30-Oct-17	ACTIVE
272	108	Azee Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.450,000/-	25-Oct-17	ACTIVE
273	158	Royal Securities (Private.) Limited.	The Brokerage House was Warned		19-Oct-17	ACTIVE
274	329	S.D. Mirza Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	5-Oct-17	ACTIVE
275	300	AM Chaudhary Securities (Private) Limited	Switching-off of trading terminals	-	20-Sep-17	ACTIVE
276	513	CMA Securities (Private) Limited.	The Brokerage House was Warned		6-Sep-17	TRADING TERMINALS SUSPENDED
77	98	Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned		5-Sep-17	ACTIVE
178	6	Sherman Securities (Private.) Limited.	The Brokerage House was Warned		30-Aug-17	ACTIVE
179	61	Abbasi Securities (Private) Limited.	The Brokerage House was Warned		23-Aug-17	Voluntary Trading Terminal Suspended
180	140	M. M. Securities (Private.) Limited.	The Brokerage House was Advised	-	23-Aug-17	ACTIVE
181	38	A.H.M.Securities (Private.) Limited.	The Brokerage House was Warned		18-Aug-17	ACTIVE
182	51	H. P. Byramij & Co. (Private.) Limited.	The Brokerage House was Warned		18-Aug-17	APPLIED FOR SURRENDER
183	89	Investment Managers Sec. (Private.) Limited.	The Brokerage House was Warned		18-Aug-17	ACTIVE
84	199	Insight Securities (Private.) Limited.	The Brokerage House was Advised	-	18-Aug-17	ACTIVE
85	148	Oriental Securities (Private) Limited	The Brokerage House was Advised		11-Aug-17	ACTIVE
186	328	128 Securities (Private) Limited	Switching-off of trading terminals		3-Aug-17	ACTIVE
87	337	Trust Securities & Brokerage Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Ps.20.000/-	31-Jul-17	ACTIVE
38	116	Patel Securities (Private.) Limited.	The Brokerage House was Warned		10-Jul-17	ACTIVE
89	191	Market 786 (Private) Limited.	The Brokerage House was Warned	_	10-Jul-17	ACTIVE
90	256	Progressive Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.250.000/-	10-lul-17	ACTIVE
91	5	Sherman Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Ns.250,000/-	10-Jul-17 5-Jul-17	ACTIVE
92	24	ASDA Securities (Private.) Limited.	The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE
92	42		The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE ACTIVE
93	42 56	Icon Capital Management (Private) Limited. Nael Capital (Private.) Limited.		- :	5-Jul-17 5-Jul-17	
294	61	Nate Capital (Private.) Limited. Abbasi Securities (Private) Limited.	The Brokerage House was Warned		5-Jul-17 5-Jul-17	ACTIVE Voluntary Trading Terminal Suspended
			The Brokerage House was Warned			
196	79	Irlan Mazhar Securities (Private Limited Memon Securities (Private) Limited.	The Brokerage House was Warned		5-Jul-17 5-Jul-17	ACTIVE
197	92	Memon Securities (Private) Limited. Alfalah Securities (Private 1 Limited)	The Brokerage House was Warned			ACTIVE ACTIVE
			The Brokerage House was Warned	-	5-Jul-17	
29	144	Dattoo Securities (Private) Limited.	The Brokerage House was Warned	-	5-Jul-17	ACTIVE
00	155	B & B Securities (Private.) Limited.	The Brokerage House was Warned		5-Jul-17	ACTIVE
01	237	IAK Securities (Private.) Limited.	The Brokerage House was Warned		5-Jul-17	APPLIED FOR SURRENDER
22	482	New Peak Securities(Private) Limited	The Brokerage House was Warned		5-Jul-17	ACTIVE
103	98	Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Ps:30,000/-	22-Jun-17	ACTIVE
64	108	Azee Securities (Private.) Limited.	Suspension of Trading Terminals		22-Jun-17	ACTIVE
105	112	Standard Capital Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	20-Jun-17	ACTIVE
106	6	Sherman Securities (Private.) Limited.	The Brokerage House was Warned	-	15-Jun-17	ACTIVE
107	490	Baba Equities (Private) Limited.	The Brokerage House was Warned		15-Jun-17	TRADING TERMINALS SUSPENDED
80	513	CMA Securities (Private) Limited.	The Brokerage House was Warned	-	15-Jun-17	TRADING TERMINALS SUSPENDED
29	61	Abbasi Securities (Private) Limited.	The Brokerage House was Warned	-	12-Jun-17	Voluntary Trading Terminal Suspended
110	126	NINI Securities (Private.) Limited.	The Brokerage House was Warned	-	12-Jun-17	ACTIVE
111	163	Friendly Securities (Private) Limited.	The Brokerage House was Warned		12-Jun-17	ACTIVE
112	306	Bridge Securities (Private) Limited	The Brokerage House was Warned		12-Jun-17	ACTIVE
13	350	Guinez Securities (Private) Limited	The Brokerage House was Warned		12-Jun-17	ACTIVE
14	481	Naz Ahmed Securities (Private) Limited.	The Brokerage House was Warned		12-Jun-17	ACTIVE
15	523	Falki Capital Private Limited	The Brokerage House was Warned		12-Jun-17	ACTIVE
16	442	General Investment & Sec	The Brokerage House was Warned and Financial Penalty was Imposed	Ps.30.000/-	9-Jun-17	ACTIVE
17	89	Investment Managers Sec. (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30.000/-	8-Jun-17	ACTIVE
18	147	A. I. Securities (Private) Limited.	The Brokerage House was Warned		8-Jun-17	ACTIVE
19	147	A.H.M.Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		7-Jun-17	ACTIVE
20	140	M. M. Securities (Private.) Limited.			7-Jun-17	ACTIVE
21	140	M. M. Securities (Private.) Limited. Insight Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		7-Jun-17 7-Jun-17	ACTIVE
22	199	Insight Securities (Private.) Limited. H. P. Byramii & Co. (Private.) Limited.		Rs.30.000/-	7-Jun-17 5-Jun-17	ALTIVE APPLIED FOR SURRENDER
22	51		The Brokerage House was Warned and Financial Penalty was Imposed	rs.ad,000/-		
23		Dawood Equities Limited. SAZ Capital Securities (Private Limited	Suspension of Trading Terminals	-	5-Jun-17 2-Jun-17	ACTIVE
	187		The Brokerage House was Warned			ACTIVE
25	339	Khawaja Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	2-Jun-17	ACTIVE
126	420	Progressive Inves, Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50.000/-	2-Jun-17	ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
S. No.	TREC No.	Name of TREC Molder Azee Securities (Pvt.) Ltd.	Actions taken by Market Surveillance Department (MSD): Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status ACTIVE
2 3	108 169 108	Pearl Securities Limited	Penalty Imposed along with confiscation of profits Warned Penalty Imposed along with confiscation of profits	11,445	6-Mar-20 6-Mar-20 6-Mar-20	ACTIVE ACTIVE
5	169 169 155	Peer Securities Limited Pearl Securities Limited B & B Securities (Private) Limited	r sinney imported to your winned. Warned Warned Advised		6-Mar-20 6-Mar-20	ACTIVE ACTIVE ACTIVE
6 7 8	232	All Latil Sec (FVI) Ltd	Warned	-:	25-Feb-20 15-Nov-19	ACTIVE ACTIVE ACTIVE
9	068 350 482	Zatar Securities (Private) Limited Guirez Sec New Peak Securities (Private) Limited	Warned Warned Warned	-	15-Nov-19 15-Nov-19 15-Nov-19	ACTIVE ACTIVE
	482 068 068	New Peak Securities (Private) Limited Zatar Securities (Private) Limited Zatar Securities (Private) Limited	Warned Warned	-	15-Nov-19 15-Nov-19 15-Nov-19	ACTIVE ACTIVE ACTIVE ACTIVE
11 12 13 14 15	068 068 068	Zatar Securities (Private) Limited	Warned Warned	-	15-Nov-19 15-Nov-19 15-Nov-19	ACTIVE
16 17	482 482	Zafar Securities (Private) Limited New Peak Securities (Private) Limited New Peak Securities (Private) Limited	Warned Warned Warned		15-Nov-19 15-Nov-19	ACTIVE ACTIVE ACTIVE
18	232 018 082	Arif Latif Sec (Pvt) Ltd Fairtrade Capital Securities (Private) Limited	Warned Warned	-	15-Mou-10	ACTIVE ACTIVE
19 20 21	120	Mayari Securities (Private) Limited Alfalah Securities (Private) Limited	Warned Stern Warning	-	4-Oct-19 4-Oct-19 29-lul-19	ACTIVE ACTIVE
22 23 24	145 145 145	Adam Securities (Pvt.) Ltd. Adam Securities (Pvt.) Ltd. Adam Securities (Pvt.) Ltd.	Warned Warned Warned		29-Jul-19 29-Jul-19 29-Jul-19	ACTIVE ACTIVE ACTIVE
25	046	Fortune Securities Limited Fortune Securities Limited	Warned Warned		25.54.19	ACTIVE ACTIVE
26 27 28	046 228 314	Al-Harq Sec Equity Master Sec	Stern Warning Stern Warning		25-lul-19 25-lul-19 25-lul-19	ACTIVE ACTIVE
29 30 31	228 149 149	Al- Hiar Sic S Global Capital Limited S Global Capital Limited S Global Capital Limited	Confiscation of Profits Advice Advice	2,500	25-lul-19 11-lul-19 11-lul-19	ACTIVE ACTIVE
32 33	191	Aufardet 786 (Partial) Limited Ismail Ighal Securities (Prt.) Limited Reliance Securities Limited	Advise Advised		11-Jul-19 11-Jul-19	ACTIVE ACTIVE
34 35 36	018 012 049	Multiline Securities (Pvt.) Ltd.	Advised Advised	-	10-Jul-19 10-Jul-19 10-Jul-19	APPLIED FOR SURRENDER ACTIVE ACTIVE
36 37 38	042 142 024	Icon Capital Management (Private) Limited Foundation Securities (Pvt.) Limited ASDA Securities (Private) Limited	Advised Advised Advised	-	10-lul-19 10-lul-19 10-lul-19	ACTIVE ACTIVE ACTIVE
39 40	142 248	Foundation Securities (Pvt.) Limited Khadim Ali Shah Bukhari Securities (Private) Limited	Advised Stern Warning		16-Apr-19 27-Mar-19	ACTIVE ACTIVE
41 42 43	196 212	RAM Securities (Private) Limited Horizon Securities Limited	Stern Warning Stern Warning		27-Mar-19 26-Mar-19 26-Mar-19	ACTIVE ACTIVE ACTIVE
43 44 45	149 016	25 Global Capital Limited DMS Securities (Pv.) Limited DMS Securities (Pv.) Limited	Stern Warning Stern Warning	- 1	7-Mar-19	ACTIVE
46 47	094 144 163	FDM Capital Securities (Private) Limited Dattoo Securities (Private) Limited Friendly Securities (Pvt.) Limited	Stern Warning Stern Warning Confiscation of Profits	214.966	7-Mar-19 7-Mar-19 7-Mar-19	ACTIVE ACTIVE ACTIVE
48 49 50	028 050	Ghani Osman Securities (Private) Limited Arif Habib Limited	Case Referred to SECP. For Review and Necessary Action Case Referred to SECP. For Review and Necessary Action		26-feb-19 26-feb-19	ACTIVE ACTIVE
51	058 166	Dawood Equities Limited Topline Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action Case Referred to SECP For Review and Necessary Action		26-feb-19 26-feb-19	ACTIVE ACTIVE
52 53 54	001 112 142	Altaf Adam Securities (Private) Limited Standard Capital Securities (Private) Limited Foundation Securities (Pr.) Limited	Advised Advised Advised		19-feb-19 13-feb-19 13-feb-19	ACTIVE ACTIVE ACTIVE
- 55	022 057	BMA Capital Management Limited First Capital Equities Limited Backers & Partners (Private) Limited	Advised Advised		13-Feb-19 13-Feb-19	ACTIVE ACTIVE APPLIED FOR SURRENDER ACTIVE ACTIVE
56 57 58	204 024	ASDA Securities (Private) Limited	Stern Warning Fine and confisction of Profit along with Stern Warning	30,000	1-Feb-19 1-Feb-19	
59 60 61	049 018	Multiline Securities (Pvt.) Ltd. Ismail (gbal Securities (Pvt.) Limited Ties Securities (Ministra) Limited	Stem Warning Stem Warning Coloration of Rofe Manning	13.435	1-Feb-19 1-Feb-19 1-Feb-19	ACTIVE ACTIVE ACTIVE
62 63 64 65	036 347 052	Time Securities (Private) Limited Amer Securities (Pvt.) Ltd. N.U.A. Securities (Private) Limited N.U.A. Securities (Private) Limited	Cofiscation of Profit along with Stern Warning Stern Warning Panalty Imposed along with confiscation of profits Penalty Imposed along with confiscation of profits	10,054 98,350	1-Feb-19 24-Jan-19 24-Jan-19 24-Jan-19	ACTIVE ACTIVE ACTIVE
64	045	Bhayani Securities (Private) Limited	Penalty Imposed along with confiscation of profits	98,350	24-Jan-19 24-Jan-19	ACTIVE
65 66	193 023	Akhai Securities (Pvt.) Limited Khanani Securities (Private) Limited	Stern Warning	36.320		ACTIVE
66 67 68	023 001 044	Khanani Securities (Private) Limited Altaf Adam Securities (Private) Limited IGI Finex Securities Limited	stern warming Penalty Imposed Penalty Imposed along with confiscation of profits Advised	36,320 52,495	24-lan-19 24-lan-19 23-lan-19	ACTIVE ACTIVE ACTIVE ACTIVE
66 67 68 69	023 001	Namer Securities Divased Limited Mail Adam Securities (Private) Limited 10 Friese Securities Limited 10 Friese Securities Limited 20 Friese Securities Limited 30 America Securities (PAL) 165 30 Acceptate Management Limited	Stern Warrerg Penalty Imposed Penalty Imposed along with confiscation of profits	36,320 52,495	24-Jan-19 24-Jan-19	ACTIVE ACTIVE
66 67 68 69 70 71 72 73	023 001 044 124 006 022 090	Nameria Securities (Private) Limited AAI AAI Aar Securities (Private) Limited (Si Front Securities Limited (TO Remera Pali Lill Shimmas Securities (Privat) Shimmas Securi	Penalty trapped Penalty trapped Penalty trapped Advised Advised Advised Advised Advised Advised Advised	36,320 52,495	24-lan-19 24-lan-19 23-lan-19 23-lan-19 23-lan-19 23-lan-19 10-lan-19 10-lan-19	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
66 67 68 69	023 001 044 124 006 022 090 149 052	Disease Security (Diversity (Dive	Andrew Person of the Control of the	36,320 52,495	24-Jan-19 24-Jan-19 23-Jan-19 23-Jan-19 23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19	ACTIVE
66 67 68 69 70 71 72 73 74 75	023 001 044 124 006 022 090 149 052	Disease Security (Diversity (Dive	Andrew Person of the Control of the	52,495	24-Jan-19 24-Jan-19 23-Jan-19 23-Jan-19 23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19	ACTIVE
66 67 68 69 70 71 72 73 74 75 76 77 78 79 80	023 001 044 124 006 022 030 149 052 091 102 166 116 115 129	Monach Security (Private) (Instead All Aries Security Private) (Instead Of Trian Security Private) (Instead Of Trian Security Private) Of Trian Security Private Of Trian Secu	Personal Property Conference of Personal Perso	26,320 52,495 52,495 	24-Jan-19 24-Jan-19 22-Jan-19 22-Jan-19 22-Jan-19 22-Jan-19 23-Jan-19 23-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 11-Jan-19 11-Jan-19 11-Jan-19 11-Jan-19 11-Jan-19 11-Jan-19 11-Jan-18 11-Opc-18 11-Jan-18	ACTIVE
66 67 68 69 70 71 72 73 74 75 76 77 78 99 80 81 82 83	0.23 001 044 124 026 022 030 149 032 166 119 159 256 030 034	About Security Private) (Instead All Aris Security Private) (Instead Of Trian Monthly Climan Of Trian Monthly Climan Of Trian Monthly Climan All Aris Security Private All Ari	Penalty Inspend string with Confederate of profile Adolated Adolat	52,495	24-Jan-19 24-Jan-19 22-Jan-19 22-Jan-19 22-Jan-19 22-Jan-19 22-Jan-19 10-Jan-19 11-Opc-18 11-Opc-18 11-Opc-18 11-Opc-18	ACTIVE AC
66 67 68 69 70 71 72 73 74 75 76 77 78 99 80 81 82 83	023 001 044 124 006 022 090 149 052 091 102 166 116 139 256	About Security Private) (Instead All Aris Security Private) (Instead Of Trian Monthly Climan Of Trian Monthly Climan Of Trian Monthly Climan All Aris Security Private All Ari	Penint reposed sincy with confusions of prints Annual Annu	52,495	24-Jan-19 24-Jan-19 22-Jan-19 22-Jan-19 22-Jan-19 22-Jan-19 22-Jan-19 10-Jan-19 11-Opc-18 11-Opc-18 11-Opc-18 11-Opc-18	ACTIVE AC
66 67 68 69 70 71 72 73 74 75 76 77 78 99 80 81 82 83	0.33 0031 044 124 024 124 026 020 030 049 031 149 032 149 031 160 116 116 119 126 126 131 137 140 140 140 140 140 140 140 140 140 140	Shorest Securities (Shorest) school of the Shorest Securities (Shorest Securities (Shorest) school (Shorest Securities (Shorest) school (Shore	Pendit trepost dring with Confusions of pulls. Actual Act	52,495	24-Jan-12 34-Jan-12 23-Jan-12 23-Jan-12 23-Jan-12 23-Jan-12 23-Jan-12 23-Jan-12 23-Jan-12 10-Jan-12 10-Jan-12 10-Jan-12 10-Jan-12 10-Jan-12 10-Jan-12 13-Jan-12 21-Out-18 21-Out-18 22-Out-18 2-Out-18 2-	ACTIVE ACTIVE
66 67 68 69 70 71 72 73 74 75 75 76 77 77 80 81 82 83 84 85 87 88 89 90	023 051 064 124 055 075 124 075 075 075 075 175 075 175 075 175 175 175 175 175 175 175 175 175 1	About Security Should Underly Ord Aries Should Underly Ord A	Penits reported sing with Confusion of profits Actual Actual	\$2,495	24 Jan 19 24 Jan 19 24 Jan 19 23 Jan 19 23 Jan 19 23 Jan 19 23 Jan 19 24 Jan 19 24 Jan 19 24 Jan 19 25 Jan	ACTIVE AC
66 67 68 69 70 71 72 73 74 75 76 77 77 78 80 81 82 83 84 85 86 87 88 88 89 90	023 051 064 124 005 075 129 070 129 070 140 052 071 140 052 150 052 166 150 150 150 150 150 150 150 150 150 150	About Security Works (stored About Security W	Penalty Improved storing with Confidence of Jacobse Medical Confid	\$2,495	24-Jan-19 24-Jan-19 23-Jan-19 23-Jan-19 23-Jan-19 23-Jan-19 23-Jan-19 23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 13-Jan-19 22-Conc-Jan-19 22-Conc-Jan-19 13-Jan-19 22-Conc-Jan-19 13-Jan-19 23-Jan-19 2	#CPM #C
66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90	023 021 024 024 025 027 027 020 030 031 044 026 032 030 031 032 031 140 031 140 031 140 031 140 140 140 140 140 140 140 140 140 14	Obsert Service Development and Control of Control Service Development (Control Service Development (Con	Proving Ferror of Control of Cont	\$2,495	24-3a-15 24-3a-15 24-3a-15 24-3a-15 24-3a-15 24-3a-15 24-3a-15 24-3a-15 24-3a-15 25-3a-15 25-	ACTIVE STATES AC
66 67 68 69 69 69 69 69 69 69 69 69 69 69 69 69	023 023 024 044 026 046 026 027 030 049 049 049 049 049 049 049 049 049 04	Obsert Secretary Directal United Obserts Secretary Data United FOR Demonst For Asia Conference F	President President Conference of President President Conference of President President Conference of	12,495	34 don't 19 2 don't 19	ACTIVE SECTION
66 67 68 69 69 69 69 69 69 69 69 69 69 69 69 69	0.23 0.05 0.044 0.05 0.044 0.05 0.05 0.05 0.	Obsert Secretary Directal United Obserts Secretary Data United FOR Demonst For Asia Conference F	Problem Program of any other confidence of profits Annual Program of any other confidence of profits Annual	12,495	34 mon 19 23 mon 19 24 mon 19 25 mon	ACTIVE SECTION
66 67 68 68 69 70 70 71 72 73 74 75 76 88 89 99 20 20 99 100 101 101 101 101 101 101 101 101	033 003 004 004 124 005 129 005 100 100 100 100 100 100 100 100 100	Checker Service (Service)	Penin repeat sing with contents of prints Annual An	12,495	34 most 9 34 most 9 34 most 9 34 most 9 32 most 9 32 most 9 32 most 9 33 most 9 34 mos	#CPM #C
66 67 68 68 69 70 70 71 72 73 74 75 75 76 77 78 80 77 79 80 81 82 83 85 87 88 89 90 90 90 90 90 100 101 101 101 101 101	023 023 023 023 024 024 024 024 024 024 024 024 024 024	Obsert Secretary Development of Control Secretary Development of C	Penits reported string with Contract of James Account of	12,495	Massiff 24 and 15 and 16 and 1	ACTIVE STATES AC
66 66 67 68 68 68 68 68 68 68 68 68 68 68 68 68	023 023 023 023 024 024 024 025 025 025 025 025 025 025 025 025 025	Objects Security District (Storage) Objects Security District (Storage) Fill Security And Security District (Storage) Fill Security And Security District (Storage) Fill Security And Security District (Storage) Fill Security District (Storage) Objects Security District (Storage) Objec	Presist repeat sincy and confusions of presists Addited Addite	12,495	34 most 9 34 most 9 34 most 9 34 most 9 32 most 9 32 most 9 32 most 9 33 most 9 34 mos	ACTIVE STATES AC
66 66 67 68 68 68 68 68 68 68 68 68 68 68 68 68	033 023 024 024 026 027 026 027 027 028 029 029 029 029 029 029 029 029 029 029	About Secretary Provide United And Area Secretary Provided And Area Secretary Provide United And Area Secretary Provid	Penish respond string with the control of penish and the penish and the control of penish and the penish	12,495	34 most 9 34 most 9 34 most 9 34 most 9 35 most 9 35 most 9 35 most 9 35 most 9 36 mos	ACTIVE AC
66 66 67 68 68 68 68 68 68 68 68 68 68 68 68 68	023 023 023 023 023 023 023 023 023 023	Obsert Secretary Development (1994) Obsert Secretary Development (1994) Fill Ferrest 1 to U.S. Fill	Process of control of the control of control	\$3,000 	34 most 9 24 most 9 24 most 9 24 most 9 23 most 9 23 most 9 24 mos	#CPM #C
66 66 67 68 68 69 69 69 69 69 69 69 69 69 69 69 69 69	023 023 025 026 026 027 027 028 029 029 029 029 030 030 030 031 100 03	Obsert Service (Private United Control of Control Obsert Service (Private United Control Obsert Service United Control Obsert Service (Private United Control Obsert Service (Private United Control Obsert Service United Control Obsert Service (Private United Control Obsert (Private United Control Obsert United Control Obsert (Private United Cont	Presist Internet since with a transmission of presist Internet since with a transmission of presist Internet since with a transmission of presist Internet since with a since	\$3,000 	34 most 9 24 most 9 24 most 9 25 mos	#CPM #C
66 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6	923 924 925 925 925 925 925 925 925 925 925 925	Obsert Service Product (context) Obsert Service Product (context) Fill Ferrar An Ut all Service Service Park (context) Fill Ferrar An Ut all Service Service Park (context) Fill Ferrar An Ut all Service Service Park (context) Obsert Service	Probably Proposed and real particular of purplic Advanced Activation of purplic Advanced Activation of purplic Advanced Activation of Activation of Activation Activation Activation of Activation Activation of Activation Activation Activation of Activation Activatio	33,095	34 most 9 24 most 9 24 most 9 25 mos	ACTIVE STATES AC
66 66 67 68 68 69 69 70 71 72 73 74 65 75 75 75 76 77 78 80 18 81 81 81 81 81 81 81 81 81 81 81 81	923 924 925 925 925 925 925 925 925 925 925 925	Shorest Security Shrowit (showed of cold of co	Penits reposed story, with seconds Addition Addi	\$3,495	34 most 1 34 most 2 34 most 3 34 most 3 32 most 3 32 most 3 33 most 3 34 mos	#CPM #C
66 66 66 66 66 66 66 66 66 66 66 66 66	923 924 925 925 925 925 925 925 925 925 925 925	Shorest Security Shrowit (showed of cold of co	Presist respond strong with a transcription of presist respond strong with a transcription of presist respond strong with a transcription of the strong of t	33,095	34 most 9 24 most 9 24 most 9 24 most 9 25 mos	#CPM #C
66 66 67 67 68 69 69 69 69 69 69 69 69 69 69 69 69 69	923 924 925 925 925 925 925 925 925 925 925 925	Observat Security District Street Of Security District Security District Of Security D	Presist respond story, with contraction of presists Advantage Adva	33,495 33,495 34,777 34,777 34,673 31,33,305 3	34 mon 97 34 mon 97 34 mon 97 34 mon 97 35 mon 97 37 37 37 37 37 37 37 37 37 37 37 37 37	## ACTIVE ## ACT
66 66 67 67 67 67 67 67 67 67 67 67 67 6	923 924 925 925 925 925 925 925 925 925 925 925	Observat Security Development of Control Security Development On Control Security Development On Control Security Development	Proubly Inspected and the American of profits Administration of profits Administration of the American of profits Administration of the American of American Administration of the American of the American of Ame	13,265	34 mon 97 24 mon 97 24 mon 97 25 mon	## ACTOR ##
66 66 67 67 67 67 67 67 67 67 67 67 67 6	933 944 144 145 146 146 146 146 146 146 146 146	Observat Security Development of Control Security Development On Control Security Development On Control Security Development	Provide Internal Action of the Confederation of profits Actional	33,495 33,495 34,777 34,777 34,673 31,33,305 3	34 mon 97 24 mon 97 24 mon 97 25 mon	## ACTOR ##
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S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
133	021	Alfa Adhi Securities (Pvt.) Ltd.	Penalty Imposed along with confiscation of profits	(If any) 32,160	7-May-18	ACTIVE
134	018	Ismail Iqbal Securities (Pvt.) Limited	Advised		7-Miry-18	ACTIVE
135	098	Fairtrade Capital Securities (Private) Limited	Advised	-	4-Miry-18	ACTIVE
136	098	Fairtrade Capital Securities (Private) Limited	Advised	-	4-May-18	ACTIVE
137	098	Fairtrade Capital Securities (Private) Limited	Advised	-	4-May-18 4-May-18	ACTIVE ACTIVE
138	098	Fairtrade Capital Securities (Private) Limited Fairtrade Capital Securities (Private) Limited	Advised Advised	-	4-May-18 4-May-18	ACTIVE ACTIVE
140	112	Standard Capital Securities (Private) Limited Standard Capital Securities (Private) Limited	Advised	-	4-May-18	ACTIVE
141	346	Stroneman Securities (Pvt.) Ltd.	Advised	-	4-May-18	ACTIVE
142	085	Concordia Securities (Pvt.) Ltd.	Advised	-	13-Apr-18	SURRENDERED / RELINQUISHED
143	142	Foundation Securities (Pvt.) Limited	Advised	-	9-Apr-18	ACTIVE
144	006	Sherman Securities (Pvt.) Ltd.	Advised		9-Apr-18	ACTIVE
145	228	Al-Haq Securities (Private) Limited	Advised	-	6-Apr-18	ACTIVE
146	169	Pearl Securities Limited	Advised	-	6-Apr-18 6-Apr-18	ACTIVE ACTIVE
148	442 442	General Investment & Securities (Private) Limited. General Investment & Securities (Private) Limited.	Advised Advised	-	6-Apr-18 6-Apr-18	ACTIVE ACTIVE
149	345	Pearl Brokerage (Pvt.) Ltd.	Stern Warning	-	6-Apr-18 4-Apr-18	SURRENDERED / RELINQUISHED
150	485	Hamza Farhad Securities (Pvt) Limited	Confiscation of Profits	870	4-Apr-18	ACTIVE
151	089	Investment Managers Securities (Private) Limited	Stern Warning	-	21-Mar-18	ACTIVE
152	162	Aba Ali Habib Securities (Private) Limited	Stern Warning		21-Mar-18	ACTIVE
153	166	Topline Securities (Private) Limited	Confiscation of Profits	8,565	21-Mar-18	ACTIVE
154	162	Aba Ali Habib Securities (Private) Limited	Advised		15-Mar-18	ACTIVE
155	256	Progressive Securities (Private) Limited	Stern Warning	-	20-Feb-18	ACTIVE
156	232	Arif Latif Securities (Private) Limited	Stern Warning	-	20-Feb-18	ACTIVE
157	442	General Investment & Securities (Private) Limited	Stern Warning	-	20-Feb-18	ACTIVE ACTIVE
158 159	091	Intermarket Securities Limited	Stern Warning	-	20-Feb-18 20-Feb-18	ACTIVE ACTIVE
159	091	Intermarket Securities Limited	Stern Warning Stern Warning		20-Feb-18 20-Feb-18	ACTIVE ACTIVE
161	091	Intermarket Securities Limited ASDA Securities (Private) Limited	Stern Warning Stern Warning	-	7-Feb-18	ACTIVE
162	017	Summit Capital (Private) Limited	Stern Warning		1-Feb-18	ACTIVE
163	066	Igbal Usman Kodvavi Securities (Pvt.) Ltd.	Penalty Imposed	7,125	1-Feb-18	ACTIVE
164	131	GMI Capital Securities (Private) Limited	Stern Warning	-	1-Feb-18	ACTIVE
165	045	Shayani Securities (Private) Limited	Penalty Imposed	2,750	1-Feb-18	ACTIVE
166	131	GMI Capital Securities (Private) Limited	Stern Warning		1-Feb-18	ACTIVE
167	044	IGI Finex Securities Limited	Stern Warning		1-Feb-18	ACTIVE
168	490	Baba Equities (Private) Limited	Penalty Imposed	226,660	13-Dec-17	TRADING TERMINALS SUSPENDED
169 170	490	Baba Equities (Private) Limited	Warned	-	13-Dec-17 12-Dec-17	TRADING TERMINALS SUSPENDED ACTIVE
170	224 410	K & I Global Capital (Private) Limited	Advised Penalty Imposed	15,597	12-Dec-17 30-Nov-17	ACTIVE ACTIVE
172	410	Zahid Latif Khan Securities (Private) Limited New Peak Securities (Private) Limited	Penalty Imposed Penalty Imposed	15,597	30-Nov-17	ACTIVE ACTIVE
173	482	New Peak Securities (Private) Limited	Penalty Imposed Penalty Imposed	70.650	30-Nov-17	ACTIVE
174	155	B & B Securities (Private) Limited	Penalty Imposed	6,000	30-Nov-17	ACTIVE
175	169	Pearl Securities Limited	Penalty Imposed	240.940	17-Nov-17	ACTIVE
176	052	N.U.A. Securities (Private) Limited	Stern Warning	-	17-Nov-17	ACTIVE
177	052	N.U.A. Securities (Private) Limited	Stern Warning		17-Nov-17	ACTIVE
178	052	N.U.A. Securities (Private) Limited	Stern Warning	-	17-Nov-17	ACTIVE
179	052	N.U.A. Securities (Private) Limited	Stern Warning	-	17-Nov-17	ACTIVE
180	084	Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited	Penalty Imposed	30,496	9-Nov-17 1-Nov-17	ACTIVE ACTIVE
182	169 032	Pearl Securities Limited Zafar Moti Capital Securities (Private) Limited	Advised Penalty Imposed	26,740	18-Oct-17	ACTIVE ACTIVE
183	018	Ismail lobal Securities (Pvt.) Limited	Penalty Imposed Penalty Imposed	10,000	18-0-5-17	ACTIVE
184	030	Cedar Capital (Private) Limited	Penalty Imposed	14,500	18-Oct-17	ACTIVE
185	290	K.H.S. Securities (Private) Limited	Africat	14,300	28-Aus-17	ACTIVE
186	084	Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited	Warned	-	28-Aug-17	ACTIVE
187	036	Time Securities (Private) Limited	Warned	-	28-Aug-17	ACTIVE
188	006	Sherman Securities (Pvt.) Ltd.	Advised		28-Aug-17	ACTIVE
189	006	Sherman Securities (Pvt.) Ltd.	Advised		28-Aug-17	ACTIVE
190	046	Fortune Securities Limited	Advised	-	28-Aug-17	ACTIVE
191	102	Growth Securities (Private) Limited	Warned	-	24-Aug-17	ACTIVE
192 193	068	Zafar Securities (Private) Limited	Warned		24-Aug-17 24-Aug-17	ACTIVE ACTIVE
193	102	Growth Securities (Pvt.) Limited	Warned Warned	-	24-Aug-17 24-Aug-17	ACTIVE ACTIVE
195	102	Growth Securities (Pvt.) Limited Zafar Securities (Private) Limited	Warned		24-Aug-17 24-Aug-17	ACTIVE ACTIVE
196	068	Zafar Securities (Private) Limited Zafar Securities (Private) Limited	Warned	-	24-Aug-17 24-Aug-17	ACTIVE
197	030	Cedar Capital (Private) Limited	Advised		21-Jul-17	ACTIVE
198	019	AKD Securities Limited	Warned	-	21-Jul-17	ACTIVE
199	234	Value Stock and Commodities (Private) Limited	Penalty Imposed	643,699	17-Jul-17	ACTIVE
200	016	D.J.M. Securities (Private) Limited	Warned		14-Jul-17	ACTIVE
201	169	Pearl Securities Limited	Warned	-	14-Jul-17	ACTIVE
202	001	Altaf Adam Securities (Private) Limited	Advised Advised	-	4-Jul-17 4-Jul-17	ACTIVE ACTIVE
203		Ghani Osman Securities (Private) Limited		55,683	4-Jul-17 21-Jun-17	ACTIVE ACTIVE
205	054	Bawa Securities (Private) Limited Intermarket Securities Limited	Penalty Imposed Advised	55,683	21-Jun-17 21-Jun-17	ACTIVE ACTIVE
206	188	Intermarket Securities Umited Apex Capital Securities (Private) Limited	Advised	-	21-Jun-17 21-Jun-17	ACTIVE ACTIVE
200	091	Intermarket Securities Limited	Advised		21-Jun-17 21-Jun-17	ACTIVE
208	158	Royal Securities (Private) Limited	Advised		19-Jun-17	ACTIVE
209	228	Al-Hag Securities (Private)Limited	Warned		16-Jun-17	ACTIVE
210	048	Next Capital Limited	Warned	-	9-Jun-17	ACTIVE
211	048	Next Capital Limited	Penalty Imposed	70,175	9-Jun-17	ACTIVE
212	048	Next Capital Limited	Warned		9-Jun-17	ACTIVE
213	880	Faward Yusuf Securities (Private) Limited	Warned		9-Jun-17	ACTIVE
214	088	Fawad Yusuf Securities (Private) Limited	Penalty Imposed	92,527	9-Jun-17	ACTIVE
	088	Faward Yusuf Securities (Private) Limited	Penalty Imposed	64,041	9-Jun-17 9-Jun-17	ACTIVE ACTIVE
215	088	Fawad Yusuf Securities (Private) Limited	Warned			